

**STAFF INSPECTION STANDARDS
RECORDS MANAGEMENT**

1. PURPOSE. To establish unit and activity inspection standards in the area of Records Management.
2. APPLICABILITY. These standards are applicable to all TDA and TOE units assigned or attached to Fort Benning.
3. GENERAL. The inspection consists of verifying regulatory compliance with Records Management policies and procedure for identification, maintenance, protection and deposition of recorded information. The enclosed checklist will be used during Staff Inspections
4. EVALUATION CRITERIA. The unit will receive one of the two ratings.
 - a. **MET.** Items 2, 4, 9, 13, 14 and 16 are rated as **MET**, and the Unit has an overall score of 80% or higher.
 - b. **NOT MET.** A **Not Met** on any of the following items: 2, 4, 9, 13, 14 and 16 will constitute a **NOT MET, regardless of the score.**
5. REFERENCES:
 - a. AR 25-1, (Dec 08)
 - b. AR 25-400-2, (Oct 07)
 - c. AR 340-21, (Jul 85)
 - d. ACRS Quick Reference Guide (Jan 12)
 - e. DoD 5200.1-R, (Feb 12)
 - f. DoD 5400.7-R (Sep 98)
 - g. DoD 5400.11-R, (May 07)
 - h. DA Pam 25-403, (Aug 08)
 - i. DA Memo 25-51, (Apr 07)
 - j. AR 500-3 (Apr 08)
 - k. Fort Benning Policy Memo, 25-54-5, (Mar 12)
6. POINT OF CONTACT: Ms. Barefield, Administrative Services, DHR, 545-5356.

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**STAFF INSPECTION CHECKLIST
DHR/ADMINISTRATIVE SERVICES DIVISION
RECORDS MANAGEMENT**

UNIT NAME: _____ **DATE:** _____

TYPE VISIT: (SI): _____ **INSPECTOR:** _____

RECORDS MANAGEMENT	MET	NOT MET	N/A
1. Unit has inspection results from last MSC Inspection. (1 point)			
2. Inspection checklists for all office symbols assigned to the Unit (down to the lowest level) indicating they have met the standard are provided. IAW DA Pam 25-403, Chap 1, Para 1-6.c.(5), pgs 1-2; Chap 11, Para 11-6a.(3), pg 62 (9 points)			
3. Required Records Management reference publications (DA Pam 25-403, AR 25-400-2, AR 25-1) are available either in hardcopy or demonstrate ability to view on line. IAW AR 25-400-2, Chap 1, Para 1-2, pg 1, App A., pg 21, and DA Pam 25-403, Chap 1, Para 1-2, Pg 1, and App A, pg 68 (2 points)			
4. Activity has appointed Records Coordinator(s) on orders. A copy of the appointment orders have been provided to the Records Manager for each Records Coordinator in the Command. IAW AR 25-1, Chap 8, Para 8-2.e.(7)(f)9, pg 72 (9 points)			
5. All Records Coordinator(s) and Action Officer(s) have attended, or are scheduled to attend, ARIMS training. DA Memo 25-52, Para 4.d.(3) (2 points)			
6. Classified documents through secret are filed IAW AR 25-400-2, Chap 5, para 5-6, pg 9 (1 point)			
7. Green guide cards or sealed folders are being used to divide records by numbers and identify subdivisions. IAW AR 25-400-2, Chap 5, para 5-4, pg 9 (3 points)			
8. Green guide cards or sealed folders labels contain the correct ACRS record series, sub-series, correct disposition instructions, title and year of creation, and, if applicable, Privacy Act system notice number. IAW AR 25-400-2, Chap 6, para 6-2c., pg 13 and ACRS Quick Reference Guide (3 points)			
9. All records (paper, microfiche, electronic, CD/DVD) are labeled IAWARIMS. Labels contain the correct ACRS record series, sub-series, title or name, correct disposition and year of creation. If applicable, the Privacy Act System notice number is annotated. IAW AR 25-400-2, Chap 6, Para 5-2, pg 11 and ACRS Quick Reference Guide (9 points)			
10. Documents with disposition based on an event are in an open "active" status file until the event occurs. After the event, files are either destroyed or kept in an "inactive" file for a period NTE 6 years depending on the business needs of the office. IAW AR 25-400-2, Chap 7, Para 7-1.b., pg 13 (2 points)			

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RECORDS MANAGEMENT	MET	NOT MET	N/A
11. File cabinets and reference binders are labeled with ACRS numbers reflecting documents within the cabinets and reference binders. IAW DA Pam 25-403, Chap 3, Para 3-8(f), pg 21 and figure 3-12, pg 24 (3 points)			
12. Official E-mail messages-definition DA Pam 25-403, para 3-15.a.(1) (a-h)-are identified with the correct ACRS file number. The E-mail Bulk Achieve Tool is downloaded on Outlook or the correct ACRS file number is manually applied to Outlook personal folders. IAW DA Pam 25-403, Chap 3, Para 3-15.b.-d., Pg 27 (7 points)			
13. Unit has approved Office Records List (ORL). ORL contains file numbers for both housekeeping and functional records. Disposition of all records are reflected. IAW AR 25-400-2, Chap 5, Para 5-10(a), pg 10, & DA Pam 24-403, Chap 1, Para 1-10, pg 7 (9 points)			
14. Approved ORL's for all office symbols (down to the lowest level) within the Unit are provided (hardcopy or online). ORLs contains file numbers for both housekeeping and functional records. IAW AR 25-400-2, Chap 5, para 5-10, pg 10 (9 points)			
15. ORL's, down to the lowest level, have file number 400B, Record Disposition Files, to file the SF135, for all 6+ and permanent records listed on the ORL. File is kept until the destruction date for the transferred file(s). IAW AR 25-400-2, Chapter 9, Para 9-3, pg 17 (2 points)			
16. Signed SF 135s (Records, Transmittal and Receipt) are maintained reflecting eligible records have been transferred to Records Holding Area. Electronic Records stored in the Army Electronic Achieve are retrievable in the Master Index of ARIMS. IAW AR 25-400-2, Chap 9, Para 9-3a., pg 17, and Chap 9, Para 9-2, pg 16 (2 points)			
17. Files eligible for destruction have been destroyed IAW destruction instructions in AR 25-400-2, Chap 7, Para 7-4.a.-e.(1) and (2), pg 14 (2 points)			
18. Records Coordinator is aware of location of vital record inventories within the Unit, and periodically does inventories of the records. IAW DA Pam 25-403, Chap 2, Para 2-4, and AR 500-3, Para 1-7.g. (2 points)			
19. Records Coordinator knows what to do in case of accidental loss or willful and unlawful destruction, damage, removal or alienation of federal records. IAW AR 25-400-2, Chap 1, Para 1-8(a), pgs 3-4 (2 points)			
20. Does the Unit have a System of Records Notice (SORN) for records that are retrievable by the name of an individual or some other personal identifier? IAW DoDD 5400.11-R, Chap 6, Para C6.1.6 and http://dpclo.defense.gov/privacy/SORNs/blanket_routine_uses.html (2 points)			
21. Does the Unit have a Privacy Impact Assessment (PIA) for the any IT System that initiates the collection, maintenance or dissemination of information in identifiable form from, or about, members of the public, federal personnel, contractors, or foreign nations employed by U.S. military facilities? IAW IAW Policy Memo 25-54-5, para 3.i. and DoD Instruction # 5400.16, located at http://www.dtic.mil/whs/directives/corres/pdf/540016p.pdf			

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RECORDS MANAGEMENT	MET	NOT MET	N/A
22. Unit is aware of procedures for handling requests for Privacy Act Records to third party requestors under the Privacy Act and government records to requestors under the Freedom of Information Act. IAW DoD 5400.11-R, Chap 4, Para 4.1.1 and 4.2.2, pg 37, DoD 5400.7-R, Chap 3, para 3.2.1.6, pgs 37-39 and AR 25-55, Chap 1, Section 3, Para 1-301, and Chap 3, Section 2. (2 points)			
23. Records subject to the Privacy Act are properly safeguarded to preclude unauthorized disclosure of personal information contained in those records. IAW AR 340-21, Chap 4, Para 4-4, pg 5 and DoD 5400.11-R, Chap 1, para c.1.4.1.-c.1.4.2., pg 15 and DoD 5200.1-R, App 3.2.4.1., pg 142. (3 points)			
24. DD Form 2923, Privacy Act Data Cover Sheet is being used to cover Personally Identifiable Information (PII) records when in open areas or being transported. IAW DoD 5400.11-R, Chap 1, Para C.1.4.2.2. and DoDM 5200.01-V4, Chap 2, Para e. (2 points)			
25. All E-mails sent containing PII are encrypted. IAW Fort Benning Policy Memo 25-54-5, Para 3.e. (2 points)			
26. Unit can retrieve copy (paper or electronic) of, Fort Benning Policy Memo 25-54-5, Safeguarding and Reporting Personally Identifiable Information (PII). IAW Policy memo 25-54-5, entire memo. (2 points)			
27. Unit is implementing procedures in Fort Benning Policy Memo 25-54-5, to include reporting all (suspected or confirmed) PII breaches. US-CERT and DA Privacy Act Reports documenting the reporting of breaches is available. IAW Policy memo 25-54-5, entire memo. (2 points)			
28. A signed roster is provided acknowledging all personnel down to the lowest level, with authorized access to PII, have completed annual PII training. links to the PII training are available at https://sharepoint/sites/ag/ASD/Forms/AllItems.aspx IAW Policy Memo 25-54-5, para 3.j. (5 points)			

OVERALL RESULT (M/NM): _____

Comments:

Inspector's Name: _____ **Signature:** _____

Unit POC Name : _____ **Signature:** _____

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